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10/809,178	03/25/2004	Hiroshi Shingai	890050.476	7760

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EXAMINER
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VERDERAME, ANNA L

ART UNIT	PAPER NUMBER
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1756

MAIL DATE	DELIVERY MODE
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06/01/2007

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

Application No.

10/809,178

Applicant(s)

SHINGAI ET AL.

Examiner

Anna L. Verderame

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 19 March 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-15 and 17 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-15 and 17 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 25 March 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
- 1) ☒ Certified copies of the priority documents have been received.
  - 2) ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - 3) ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date See Continuation Sheet.

- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_

Continuation of Attachment(s) 3). Information Disclosure Statement(s) (PTO/SB/08), Paper No(s)/Mail Date :03/19/07, 01/12/2007.

### DETAILED ACTION

The response filed by the applicant on 03/19/2007 has been carefully considered. The priority document which is alleged to overcome all lines of rejection set forth in the first office action was not received by the examiner as of 05/29/07.

#### ***Claim Rejections - 35 USC § 102***

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claims 1-3 5,7, and 10 are rejected under 35 U.S.C. 102(e) as being anticipated by Shingai et al. '166.

The applied reference has a common inventor with the instant application. Based upon the earlier effective U.S. filing date of the reference, it constitutes prior art under 35 U.S.C. 102(e). This rejection under 35 U.S.C. 102(e) might be overcome either by a showing under 37 CFR 1.132 that any invention disclosed but not claimed in the reference was derived from the inventor of this application and is thus not the invention "by another," or by an appropriate showing under 37 CFR 1.131.

This rejection can be found in the first office action mailed on 11/17/06.

Response to the applicant's arguments can be found below.

The applicant's argument is dependent upon a certified translation of the priority document that was not received by 05/29/07. Therefore the original rejection stands.

Claim Rejections - 35 USC § 103

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1-7, 10, and 13 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kato et al. '805.

This rejection can be found in the first office action mailed on 11/17/06.

Response to the applicant's arguments can be found below.

The applicant's argument is dependent upon a certified translation of the priority document that was not received by 05/29/07. Therefore the original rejection stands.

5. Claims 1-7 10, 13, and 17 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kato et al '805 in view of Koide US 6,704,273.

This rejection can be found in the first office action mailed on 11/17/06.

Response to the applicant's arguments can be found below. Claim 16 is no longer rejected since it has been cancelled.

The applicant's argument is dependent upon a certified translation of the priority document that was not received by 05/29/07. Therefore the original rejection stands.

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6. Claims 1-5, 7, 10, and 13 are rejected under 35 U.S.C. 103(a) as being unpatentable over Hosada et al. '772 in view of Ichijo et al. '458 and Nishihara et al. '281.

This rejection can be found in the first office action mailed on 11/17/06.

Response to the applicant's arguments can be found below.

The applicant's argument is dependent upon a certified translation of the priority document that was not received by 05/29/07. Therefore the original rejection stands.

7. Claims 1-5, 7, 10, and 13 rejected under 35 U.S.C. 103(a) as being unpatentable over Oomachi et al. '908 in view of Ichijo et al. '458 and Nishihara et al. '281.

This rejection can be found in the first office action mailed on 11/17/06.

Response to the applicant's arguments can be found below.

The applicant's argument is dependent upon a certified translation of the priority document that was not received by 05/29/07. Therefore the original rejection stands.

8. Claims 1,2,7, and 13 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kuroda et al. '224 in view of Ichijo et al. '458 and Nishihara et al. '281.

This rejection can be found in the first office action mailed on 11/17/06.

Response to the applicant's arguments can be found below.

The applicant's argument is dependent upon a certified translation of the priority document that was not received by 05/29/07. Therefore the original rejection stands.

9. Claims 1-15 and 17 are rejected under 35 U.S.C. 103(a) as being unpatentable over either Hosada et al. '772 Oomachi et al. '908 or Kuroda et al. '224 combined with Ichijo et al. '458 and Nishihara et al.'281, and further in view of Koide et al. '273 and Harigaya et al EP-1260973.

This rejection can be found in the first office action mailed on 11/17/06.

Response to the applicant's arguments can be found below. Claim 16 is no longer a part of the rejection since it was withdrawn from consideration.

The applicant's argument is dependent upon a certified translation of the priority document that was not received by 05/29/07. Therefore the original rejection stands.

10. Claims 1-3 and 5-9 are rejected under 35 U.S.C. 103(a) as being unpatentable over Harigaya et al/ EP 1 260 973 A2 in view of Nagata et al EP 1 052 632 A2 in view of Mizushima et al. [(WO 03/098619)/(2006/0072436 is English equivalent)].

This rejection can be found in the first office action mailed on 11/17/06.

Response to the applicant's arguments can be found below.

The applicant's argument is dependent upon a certified translation of the priority document that was not received by 05/29/07. Therefore the original rejection stands.

11. Claims 1-3 5,7,8,9, and 17 are rejected under 35 U.S.C. 103(a) as being unpatentable over Harigaya et al (EP 1 260 973 A2) further in view of Koide US 6,704,273, Nagata et al. (EP 1052632) , and Mizushima et al. (WO/03/098619).

This rejection can be found in the first office action mailed on 11/17/06.

Response to the applicant's arguments can be found below.

The applicant's argument is dependent upon a certified translation of the priority document that was not received by 05/29/07. Therefore the original rejection stands.

Claim number 16 is no longer rejected since it has been cancelled.

12. Claims 1-3, 10, and 13 are rejected under 35 U.S.C. 103(a) as being unpatentable over Suzuki et al. 6,149,999 in view of Harigaya et al. 6,770,346, Ohno et al. 6,004, 646 and Hirotsune et al. 6,856,589.

In example 7, Suzuki et al manufactures a phase-change optical recording medium of the layer composition as shown in figure 20. A first heat diffusion layer 7 comprising aluminum nitride was formed to a thickness of 50 nm on a substrate 1. A lower protection layer 2 comprising a film of mixture of ZnS and SiO<sub>2</sub> was formed on the heat diffusion layer. An interface control layer 3 was formed on the lower protection layer. On the interface control layer 3 were formed a recording layer 4 comprising Sb-Te-Ge at a thickness of 25 nm and an upper protection layer 5 comprising a film of mixture of ZnS and SiO<sub>2</sub> at a thickness of 20 nm thereon, a reflection layer 6 comprising Al to a thickness of 100 nm, and a UV-curable protection coat (24/1-25). 1,7RLL modulation was used(24/37).

For recording and reproducing light is shone through substrate 1. Shining light through the protective coating would not work due to the presence of a 100 nm thick metal reflective layer.



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Suzuki et al. does not teach the specific recording composition recited in claim 1 or the use of a silver reflective layer.

In examples 13-15 Harigaya et al. teaches an optical recording medium having a phase-change recording layer of  $\text{Ge}_4\text{Mn}_7\text{Sb}_{70}\text{Te}_{19}$  and a silver reflection layer on the side of the recording layer opposite the light incidence plane(table 1 and (16/11-34)). These media were recorded at a linear velocity of 17.5 m/s. Recording data were recorded by (8-16) modulation at a recording power of 19 mW, a bias(bottom) power of 0.1mW, and an erasing power of 6 mW (16/50-55).  $P_e/P_w$  is equal to 3.16 which is in the range of 0.26 to 0.51.

The composition taught by this reference contains antimony (a) in the amount of 70 %. This is within the range of 55 to 70 recited in claim one. The composition taught by this reference contains Germanium in the amount of 4%. This is within the range of 4 to 10 recited in the claims. The composition taught by this reference contains Mn(d) in the amount of 7%. This is not within the range of 10 to 20 recited in claim 1. The ratio of a/b for the composition taught in this reference is (70/19) 3.7. This is not within the range recited in claim 1. The ratio of a/d for the composition taught by this reference is (70/7) 10. This is not within the range of 3 to 6 recited in claim 1.

The ratio of  $P_e/P_w$  in this reference is 0.32.

Sb content should be in the 65-80 and Te should be in the range of 15 to 25. Ge can be added to improve the storage property of the recorded mark under high temperature environment. Ge content should be in the range of 1 to 5. Mn has been found to increase the crystallization rate without raising the crystallization temperature.

Mn may be added in the range of between 1 to 10% (4/38-6/5). This reference teaches a recording layer having 10% Mn which is in the range of 10-20 recited by the applicant.

Ohno et al teaches a phase-change optical recording composition of  $M_w(Sb_zTe_{1-z})_{1-w}$  where  $0 \leq w \leq 0.2$ ,  $0.5 \leq z \leq 1$ , and M is at least one member selected from the group consisting of Ge, and Mn among others(6/5-10). As a preferred example of the recording layer an alloy having the composition  $Mb_vMc_y(Sb_xTe_{1-x})_{1-v-y}$ , where Mb is at least one member selected from the group consisting of Ag and Zn, Mc is Ge or Sn,  $0.6 \leq x \leq 0.8$ ,  $0.01 \leq y \leq 0.15$ ,  $0.01 \leq v \leq 0.15$ , and  $0.02 \leq v+y \leq 0.2$ (7/1-6). In example 6 a recording layer having the specific composition  $Ag_9Ge_6Sb_{67}Te_{18}$  is disclosed (31/50-61).

Hirotsune et al. teaches recording films 13 and 17 as alternatives of  $Ge_5Sb_2Te_8$  recording films. Recording films 13 and 17 are Ag-Ge-Sb-Te type and Cr-Ge-Sb-Te types. It was found that Ag to be added to the recording films 13, 17 was replaceable with at least one out of a group including Mn while maintaining favorable overwrite characteristics (17/13-35).

In view of the teachings of Hirotsune that Ag in Ag-Sb-Te-Ge type recording films can be replaced with Mn while maintaining good overwrite characteristics, it would have been obvious to replace Ag with Mn in the Ag-Sb-Te-Ge recording compositions taught by Ohno et al. at (7/1-6).

One could imagine a recording composition according to the formula found at (7/1-6) of Ohno et al. in which  $M_b$  is Mn,  $M_c$  is Ge,  $v$  is 0.15,  $y$  is 0.05,  $x$  is 0.7275, and  $1-x$  is 0.2725. This composition contains 5% Ge, 15% Mn, 58.2% Sb, and 21.89% Te.

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This composition is very similar to that disclosed in the applicant's first working example.

In regard to claims 10 and 13, one could also imagine a recording composition according to the formula found at (7/1-6) of Ohno et al. in Which  $M_b$  is Mn,  $M_c$  is Ge,  $v$  is 0.12,  $y$  is 0.04,  $x$  is .77, and  $1-x$  is .23. This composition contains 4% Ge, 12 % Mn, 65 % Sb, and 19 % Te. In this composition  $(a+d)$  is equal to 77 and the ratio of  $a/b$  is 3.42 which is in the range of between 3.3 and 4.7.

It would have been obvious to one of ordinary skill in the art to modify the optical recording medium taught by Suzuki et al. by forming the recording layer of an Sb-Te-Ge-Mn phase-change composition and by forming the reflective layer of a Ag alloy containing 90 atomic% or more of Ag based on the examples 13-15 found in table 1 of Harigaya et al. Further, it would have been obvious to use the specific composition containing 5% Ge, 15% Mn, 58.2% Sb, and 21.89% Te, rendered obvious above by the combined teachings of Ohno et al. and Hirotsune et al.

13. Claims 4-5 are rejected under 35 U.S.C. 103(a) as being unpatentable over Suzuki et al. 6,149,999 in view of Harigaya et al. 6,770,346, Ohno et al. 6,004, 646 and Hirotsune et al. 6,856,589 as applied above, further in view of Ohkura et al. 2003/0152006, Yoshioka et al. Re. 36,383, and Ovshinsky 6,011,757.

Suzuki et al. 6,149,999 in view of Harigaya et al. 6,770,346, Ohno et al.

6,004, 646 and Hirotsune et al. 6,856,589 as applied above do not disclose dielectric layers having thicknesses in the ranges recited by the applicant in claims 6-7.

Ohkura et al teaches an optical recording medium where the thickness of the first dielectric layer (disposed on light incident side) have a thickness in the range of from 20 nm to 250 nm (0072). The second dielectric layer preferably has a thickness of from 10 nm to 40 nm (0074).

Yoshioka et al. discloses that typically the active layer (phase-change recording layer) in an optical disk is sandwiched between dielectric layers which have excellent heat resistance characteristics. These dielectric layers serve to contain the active layer and to protect a substrate and an adhesive layer from undergoing large changes in temperature during irradiation. Since the thermal behavior of the active layer both as to its ability to rapidly increase in temperature as well as its rapid cooling and slow cooling characteristics depends on the thermal conductivity of these dielectric layers, it is possible to optimize the recording and erasing characteristics by properly choosing the materials of the dielectric layers and by carefully controlling the thicknesses and composition of these layers (2/10-22).

Ovshinsky teaches that the thickness of the layers including the layers of the phase-change memory material are engineered to minimize energy necessary for effecting the state-change as well as to optimize the high contrast ratio, high carrier to noise ratio, and high stability of the optical phase-change material(1/10-32).

With respect to the thicknesses of the first and second dielectric layers,

the experimental modification of this prior art in order to ascertain optimum operating conditions fails to render applicants' claims patentable in absence of unexpected results. In re Aller, 105 USPQ 233. One of ordinary skill in the art would have been motivated to adjust the thicknesses of the first and second dielectric layers in order to effect the thermal behavior of the active layer both as to its ability to rapidly increase in temperature as well as its rapid cooling and slow cooling characteristics as taught by Yoshioka et al. A prima facie case of obviousness may be rebutted, however, where the results of the optimizing variable, which is known to be result-effective, are unexpectedly good In re Boesch and Slaney, 205 USPQ 215.

It would have been obvious to modify the optical recording medium taught by the combination of Suzuki et al. 6,149,999 in view of Harigaya et al. 6,770,346, Ohno et al. 6,004, 646 and Hirotsune et al. 6,856,589 by forming the first dielectric layer to have a thickness of between 20 to 40 nm and to form the second dielectric layer to have a thickness in the range of 10 to 16 nm based on the disclosure of Ohkura et al. at (0072) and (0074).

14. Claims 8-9, 14-15, and 17 are rejected under 35 U.S.C. 103(a) as being unpatentable over Suzuki et al. 6,149,999 in view of Harigaya et al. 6,770,346, Ohno et al. 6,004, 646 and Hirotsune et al. 6,856,589 as applied above, further in view of Ando et al. 6,519,413.

Ando et al. teaches an optical recording medium shown in figure 13 containing a lead-in area 1002. In the embossed-data zone of the lead-in area 1002, the following pieces of information have been recorded beforehand: information on

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recording, reproducing, and erasing characteristics, including the recording power, recording pulse-width, erasing power, reproducing power, and linear velocity in recording or erasing (16/49-61). The invention of this application is applicable to phase-change optical recording media (16/23-24). The lead-in area also contains a trial recording area (for checking the recording and erasing conditions)(16/66-17/2).

Apparatus is also taught(1/5-15) and (17/5-7).

In regarding to claims 8-9, 14-15, and 17 the limitation that ID data be "written therein" is met by the teaching that the data is "embossed" into the medium.

It would have been obvious to one of ordinary skill in the art to modify the optical recording medium taught by Suzuki et al. 6,149,999 in view of Harigaya et al. 6,770,346, Ohno et al. 6,004, 646 and Hirotsune et al. 6,856,589, by having ID data, including information on recording velocity, and erasing, and recording power, written therein based on the teachings of Ando et al. Further, it would have been obvious to have the specific linear velocity written therein be in the range of 14 m/s to 21 m/s or 14 m/s to 33 m/s based on the example of Harigaya et al. at (16/50-55) and have the ratio of  $P_e/P_w$  written therein be in the range of 0.26 to 0.47 based on the example of Harigaya et al. at (16/50-55) with the reasonable expectation of success in recording/erasing/reproducing the medium.

### ***Double Patenting***

15. The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct

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from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

16. Claims 1-5, 7-10, and 12-16 are provisionally rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1-16 of copending Application No. 10/824,081(US 2004/0208105). Although the conflicting claims are not identical, they are not patentably distinct from each other because: This rejection can be found in the first office action mailed on 11/17/06.

This is a provisional obviousness-type double patenting rejection because the conflicting claims have not in fact been patented.

### **Conclusion**

17. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Cited prior art is similar to Suzuki et al. applied above and examiner reserves the right to use the art in subsequent actions.

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-US2004/0190418- Example one teaches an optical recording medium having the specific structure recited by the applicant in claim 1 (0104-0110). Figure 9. shows values for the ratio of  $P_e/P_w$ . Jitter reaches a minimum when the ratio of  $P_e/P_w$  is about 0.7 when a heat sink layer(heat dissipation layer is present). Use of a heat dissipation layer causes jitter to increase more slowly as the ratio of  $P_e/P_w$  increases. From this chart one would be motivated to use a heat dissipation layer and to use a  $P_e/P_w$  ratio in the range between 0.3 and 0.7 Figure 10 shows that jitter reaches a minimum when  $P_e/P_w$  is about 0.7 for three separate writing powers.

-US6,934,224- Figure 6 and description of medium at (7/23-8/5).

18. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Anna L. Verderame whose telephone number is (571)272-6420. The examiner can normally be reached on M-F 8A-4:30P.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Mark Huff can be reached on (571)272-1385. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

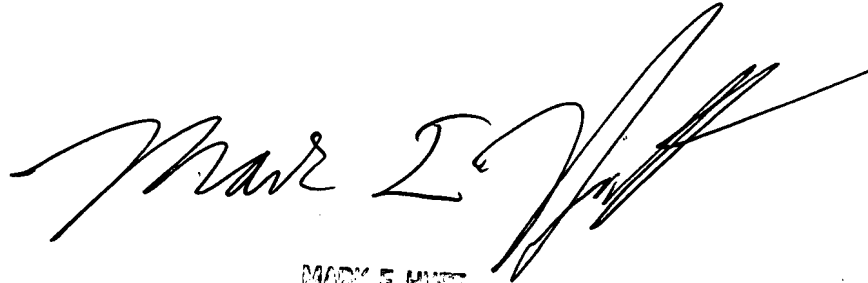


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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

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